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GP 1653

PTO/SB/21 (08-00)

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# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	10/014,318
Filing Date	November 9, 2001
First Named Inventor	Pallavicini, Maria G.
Group Art Unit	1653
Examiner Name	Not yet assigned
Attorney Docket Number	023070-120900US

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Total Number of Pages in This Submission

6

## ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Return Postcard; Power of Attorney by Assignee and Exclusion of Inventor(s) Under 37 CFR 3.71; Statement Under 37 CFR 3.73(b) (SB/96); copy of Recordation Form Cover Sheet and Assignment
Remarks The Commissioner is authorized to charge any additional fees to Deposit Account 20-1430.		

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm and Individual name	Townsend and Townsend and Crew LLP	
	Jean M. Lockyer, Ph.D.	Reg. No. 44,879
Signature		
Date	June 17, 2002	

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date:		
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6/17/02

TOWNSEND and TOWNSEND and CREW LLP

By

*Nikki Newell*

PATENT

Attorney Docket No.: 023070-120900

UC Case No. 1997-115-1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

MARIA G. PALLAVICINI and  
BRIAN P. MULLANEY

Serial No.: 10/014,318

Filed: November 9, 2001

For: IDENTIFICATION OF EXPRESSED  
GENES USING PHAGE DISPLAY

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**POWER OF ATTORNEY BY ASSIGNEE  
AND EXCLUSION OF INVENTOR(S) UNDER 37 CFR § 3.71**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

The undersigned assignee of the entire interest in the above-identified subject application hereby appoints Kevin L. Bastian, Reg. No. 34,774; M. Henry Heines, Reg. No. 28,219; Laurence J. Hyman, Reg. No. 35,551; Jean M. Lockyer, Reg. No. 44,879; Jeffry S. Mann, Reg. No. 42,837; Annette S. Parent, Reg. No. 42,058; William M. Smith, Reg. No. 30,223; Joseph R. Snyder, Reg. No. 39,381; Eugenia Garrett-Wackowski, Reg. No. 37,330; Ellen Lauver Weber, Reg. No. 32,762; Kenneth A. Weber, Reg. No. 31,677; all of the firm of Townsend and Townsend and Crew LLP, as its attorneys to prosecute this application and to

transact all business in the United States Patent and Trademark Office connected therewith, said appointment to be to the exclusion of the inventors and their attorney(s) in accordance with 37 CFR § 3.71.

An assignment of the entire interest in the above-identified subject application:

☐ was recorded on \_\_\_\_\_ at reel/frame  
\_\_\_\_\_/\_\_\_\_\_.

☒ is being concurrently submitted under separate cover to Attn: Box  
Assignments for recording, a copy not for recordation is enclosed.

Please direct all telephone calls to Jean M. Lockyer and all correspondence relative to said application to the following address:

Townsend and Townsend and Crew LLP  
Two Embarcadero Center, 8th Floor  
San Francisco, California 94111-3834

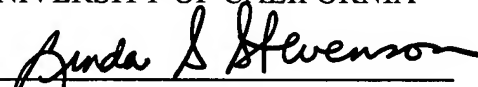
ASSIGNEE:

THE REGENTS OF THE  
UNIVERSITY OF CALIFORNIA

Signature:

Typed Name:

Title:

  
\_\_\_\_\_  
Linda S. Stevenson  
\_\_\_\_\_  
Manager, Patent Prosecution  
Office of Technology Transfer  
1111 Franklin Street, 13th Floor  
Oakland, CA 94607-5200

Dated: 6/14/02



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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Attorney Docket No. 02307O-120900US

### STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: Maria G. Pallavicini and Brian P. Mullaney

Application No./Patent No.: 10/014,318

Filed/Issue Date: November 9, 2001

Entitled: IDENTIFICATION OF EXPRESSED GENES USING PHAGE DISPLAY

The Regents of the University of California, a California corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.  
The extent (by, percentage) of its ownership interest is \_\_\_\_\_%

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

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☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

**(NOTE:** A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.8]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

6/14/02  
Date

Linda S. Stevenson

Typed or printed name

Linda S. Stevenson  
Signature

Manager, Patent Prosecution

Title

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OMB No. 0651-0027 (exp. 5/31/2002)

Recordation Form Cover Sheet  
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To the Honorable Commissioner of Patents and Trademarks. Please record the attached original documents or copy thereof

## 1. Name of conveying party(ies):

Maria G. Pallavicini  
Brian P. MullaneyAdditional name(s) of conveying parties attached? ☐ Yes ☒ No.

## 3. Nature of conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other: \_\_\_\_\_

Execution Date: May 10 and 15, 2002

## 2. Name and address of receiving party(ies)

Name: REGENTS OF THE UNIVERSITY OF CALIFORNIAInternal Address: 12<sup>th</sup> FloorStreet Address: 1111 Franklin StreetCity: Oakland State: CA ZIP: 94607Additional names and addresses attached? ☐ Yes ☒ No**RECEIVED**

## 4. Application number(s) or patent number(s).

If this document is being filed together with a new application, the execution date of the application is: JUN 28 2002A. Patent Application No(s): 10/014,318

B. Patent No(s):

TECH CENTER 1600/2000Additional numbers attached? ☐ Yes ☒ No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Jean M. Lockyer  
TOWNSEND AND TOWNSEND AND CREW LLP  
Two Embarcadero Center, 8<sup>th</sup> Floor  
San Francisco, California 94111-3834  
(415) 576-02006. Total number of applications and patents involved 17. Total fee (37 CFR 3.41): -----\$40.00

- ☐ Enclosed  
☒ Authorized to be charged to deposit account

8. Deposit account number: 20-1430

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## 9. Statement and signature.

*To the best of my knowledge and belief, the foregoing is true and correct and any attached copy is a true copy of the original document.*Jean M. LockyerName of Person Signing  
Atty. Reg. No. 44,879  
SignatureMay 28, 2002

Date

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Washington, D.C. 20231

ASSIGNMENTU.C. Case No. 1997-115-1

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

1. Maria G. Pallavicini 2. Brian P. Mullaney  
 3. \_\_\_\_\_ 4. \_\_\_\_\_

hereby sells, assigns and transfers to ASSIGNEE, The Regents of the University of California, a California Corporation, having its statewide administrative offices located 1111 Franklin St., 12<sup>th</sup> Floor, Oakland, CA 94607-5200, and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled:

IDENTIFICATION OF EXPRESSED GENES USING PHAGE DISPLAY

and which is found in

- (a) \_\_\_\_\_ U.S. provisional application filed herewith and listing the above-named persons as inventors  
 (b) \_\_\_\_\_ U.S. patent application filed herewith and listing the above-named persons as inventors  
 (c) XX U.S. application serial no. 10/014,318, filed on November 9, 2001  
 (d) \_\_\_\_\_ U.S. Patent No.: \_\_\_\_\_, issued \_\_\_\_\_

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC 111(a) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) requests the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

executed this

Signature of Inventor(s)

1. 10 day of May, 2002  
 2. 15 day of May, 2002

Maria G. Pallavicini  
Brian P. Mullaney

rev 7/24/00  
 SF 150574 v1  
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